



# APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

## FOR AGENCY USE

Application Date

July 20, 1977

Application Number

## 1. Agency Address

Department of Natural Resources  
Environmental Protection Division  
270 Washington Street, S.W.  
Atlanta, Georgia 30334

## FOR RECORDS MANAGEMENT USE

Application Number

73-585-A

Date Received

JUL 25 1977

Date Completed

AUG 4 1977

## 2. Person to Contact

Nancy Johns

## Working Title

Secretary

## Telephone Number

4708

## 3. Action Requested

a. ☐ Establish Retention Schedule; record will continue to accumulate.

b. ☐ Dispose of present accumulation; no further accumulation anticipated.

c. ☒ Amend Application No. 73-585. Check One: ☒ Change ☐ Supercede ☐ Void

## 4. Dates of Series

Earliest

Latest

## 5. Records Series Title (followed by title used in office, if different)

WASTEWATER TREATMENT FACILITY FILE

## 6. Division and Office Function

What is the function of the Division and the Office in which this record series is created?

## 7. Record Series Description

This file contains the following documents (include form numbers and titles, if any):  
Attach samples of the file.

Documents relating to:

Included are:

File is arranged:

## 8. Monthly Reference Rate

How often are records referred to which are:

One to six months old \_\_\_\_\_; Seven to twelve months old \_\_\_\_\_; Thirteen to twenty-four months old \_\_\_\_\_; twenty-five months and older \_\_\_\_\_?

## 9. Annual Rate of Accumulation of Records

Letter-size drawers \_\_\_\_\_; Legal-size drawers \_\_\_\_\_; Shelves \_\_\_\_\_; Other (specify) \_\_\_\_\_

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                  |
|--------------------------|--------------|-----------------------------------|------------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.     |
| b. Statute of limitation | _____ years. | e. Administrative need            | <u>10</u> years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.     |

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify): change section d "Wastewater Treatment Facility Permit File"  
disposition instructions to: Cut off file each fiscal year,  
hold in current files area 5 years, transfer to State Records  
Center, hold 5 years; destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>J. H. Anderson</i>	7/20/77	<i>John H. Anderson</i>	7/20/77
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>Carroll Hart</i>	8-2-77
State Auditor/Designee		<i>Carroll Hart</i>	7-29-77
Secretary of State/Designee		<i>Robert Thell</i>	8-2-77
Attorney General/Designee			



# APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

**INSTRUCTIONS:** See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

<b>FOR AGENCY USE</b>	<b>1. Agency Address</b>		<b>FOR RECORDS MANAGEMENT USE</b>	
Application Date March 14, 1977	Department of Natural Resources 270 Washington Street, S.W. Room 824 Atlanta., Georgia 30334		Application Number <b>73-585-A</b>	
Application Number			Date Received MAR 15 1977	Date Completed MAR 30 1977
<b>2. Person to Contact</b> Nancy J. Johns/John Hearn		<b>Working Title</b> Records Management Officer		<b>Telephone Number</b> 3527
<b>3. Action Requested</b>				
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.				
b. <input checked="" type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.				
c. <input checked="" type="checkbox"/> Amend Application No. 73-585 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supercede; <input type="checkbox"/> Void				
<b>4. Dates of Series</b> Earliest Latest		<b>5. Records Series Title (followed by title used in office, if different)</b> WASTEWATER TREATMENT FACILITY FILE Section a., City and County Wastewater Treatment Facility File		
<b>6. Division and Office Function</b> What is the function of the Division and the Office in which this record series is created?				
<b>7. Record Series Description</b> This file contains the following documents ( <i>include form numbers and titles, if any:</i> ) Attach samples of the file.  Documents relating to:  Included are:  File is arranged:				
<b>8. Monthly Reference Rate</b> How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?				
<b>9. Annual Rate of Accumulation of Records</b> Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____				

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |              |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need            | _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

Retain in current files area 3 years; transfer to State Records Center; hold 12 years; destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>J. R. Harrison (JRH)</i>	3/14/77	<i>John Harrison</i>	3/14/77
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>State Auditor/Designee</i>	3-28-77
		<i>Secretary of State/Designee</i>	3-25-77
		<i>Attorney General/Designee</i>	3-29-77



**Joe B. Tanner**  
COMMISSIONER

**James H. Pittman**  
DIRECTOR

# Department of Natural Resources

OFFICE OF ADMINISTRATIVE SERVICES

270 WASHINGTON ST., S.W.

ATLANTA, GEORGIA 30334

(404) 656-2795

## WASTEWATER TREATMENT FACILITY FILE

### a. City and County Wastewater Treatment Facility file.

Documents relating to the planning, construction, and operation of city and county wastewater treatment facilities.

Included are Federal Need Survey forms (EPA-1; OMB no. 158-80017); correspondence; newspaper clippings; and related general information.

File is arranged alphabetically by location.

Disposition: Cut off each calendar year; hold 5 years in current files area; transfer to Records Center, then hold 10 years; then destroy.

Rationale: Files must be kept in current files area 5 years due to high reference value and administration purposes; Records Center for 10 years for possible use in legal-enforcement cases in conjunction with the Georgia Water Quality Control Act (Act No. 870, 1964).

### b. Individual Wastewater Treatment Facility File.

Documents relating to the planning, construction, and operation of individual wastewater treatment facilities.

Included are correspondence, publications, newspaper clippings, and related general information.

File is arranged alphabetically by location.

Disposition: Cut off each calendar year; hold 5 years in current files area; transfer to Records Center, then hold 10 years; then destroy.

Rationale: Files must be kept in current files area 5 years due to high reference value and administration purposes; Records Center for 10 years for possible use in legal-enforcement cases in conjunction with the Georgia Water Quality Control Act.



**Joe B. Tanner**  
COMMISSIONER

**James H. Pittman**  
DIRECTOR

# Department of Natural Resources

OFFICE OF ADMINISTRATIVE SERVICES

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c. **Wastewater Treatment Facility Engineering Report File**

Documents relating to feasibility studies and the construction of wastewater treatment facilities.

Included are construction and operation specifications; financial projections; surveys of the use and growth potential of facilities and community; environmental impact analysis; contractor's bid form (11-14).

File is arranged alphabetically by location.

Disposition: Remove from active files upon issuance of operating permit; place in inactive file; retire to Archives each January 1.

Rationale: Series documents the social, economic, and environmental impact of wastewater treatment facilities upon affected communities.

d. **Wastewater Treatment Facility Permit File**

Documents relating to the construction and operation of wastewater treatment facilities.

Included are applications for permit (WQ 1.3); basis of design data (WQ 1.4.); construction bonds; operation and maintenance bonds; and other related technical documents.

File is arranged alphabetically by location.

Disposition: Cut off each calendar year; hold in current files area 15 years; retire to Archives.

Rationale: Permits are used by agency attorneys in legal-enforcement cases involving compliance with the Georgia Water Quality Control Act. The permits also have detailed descriptions of physical equipment at each facility and are used to prepare annual reports on all facilities in operation.



Joe B. Canner  
COMMISSIONER

James H. Pittman  
DIRECTOR

# Department of Natural Resources

OFFICE OF ADMINISTRATIVE SERVICES

270 WASHINGTON ST., S.W.

ATLANTA, GEORGIA 30334

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e. Application for Wastewater Treatment Facility Federal Grant File

Documents relating to the procurement of Federal funds for the construction and operation of wastewater treatment facilities.

Included are Comments and Recommendations of State, Metropolitan or Regional Planning Agencies (R04-1499-64); Applicant's Statement on Planning; Agency Review Applications for Construction Grants under 33 USC 466, et. seq. (R04-1584-64); Assurance of Compliance with HEW, Civil Rights Act of 1964 (HEW-441); Environmental Assessment form; Application for Federal Assistance (EPA form 5700-12).

File is arranged alphabetically by location of proposed facility.

Disposition: Upon approval of grant place in Approved Wastewater Treatment Facility Federal Grant File.

Rationale: All applications for Federal grants are eventually approved (4-5 years average; 10 years maximum).

f. Approved Application Wastewater Treatment Facility Federal Grant File

Documents relating to the procurement of Federal funds for the construction and operation of wastewater treatment facilities.

Included are Comments and Recommendations of State, Metropolitan or Regional Planning Agencies (R04-1499-64); Applicant's Statement on Planning; Agency Review Applications for Construction Grants under 33 USC 466, et. seq. (R04-1584-64); Assurance of Compliance with HEW, Civil Rights Act of 1964 (HEW-441); Environmental Assessment form; Application for Federal Assistance (EPA form 5700-12).

File is arranged alphabetically by grantee.

Disposition: Cut off each calendar year; hold in current files area 5 years; retire to Archives.

Rationale: Federal law requires this series to be kept a minimum of 3 years after acceptance (Federal Register, vol. 38, no. 151, p. 21343). The grants must be retained permanently to provide statistical data in determining cost trends, construction time, and equipment being used at each facility.



STATE  
OF  
GEORGIA

313-16  
Application for  
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

PAGE  
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1. Application Date <b>12/7/1973</b>	<b>INSTRUCTIONS:</b> See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No. <b>EPD-WQ 1</b>		Date Received <b>DEC 7 - 1973</b>	Application No. / Date Completed <b>73-585 DEC 14 1973</b>
3. AGENCY, Division, Subdivision & Administering Office Address <b>Department of Natural Resources Environmental Protection Division, Water Quality Control Sec. Room 609 Health Building, 47 Trinity Avenue S.W. Atlanta, Georgia 30334</b>		4. Person to Contact <b>Mrs. Nancy Johns</b>	
		5. Working Title <b>Steno III</b>	6. Tel. No. <b>656-4708</b>

7. ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD;  
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;  
NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest  
Dates of Series  
**1930 - date**

9. Exact Series Title

**WASTEWATER TREATMENT FACILITY FILE**

10. What is the function of the office in which this record series is created?

The Environmental Protection Division is responsible for the maintenance and improvement of the state's environmental quality through research, program development, and the enforcement of regulatory legislation in the areas of water quality control, water supply, air quality control, solid waste management, and land reclamation.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement).

( see attached sheets)

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers	60	90		In Office(s)	10
Legal-size File Drawers			Floor Space Occupied (Square Feet)	72	In Storage Area(s)
			AVERAGE DAILY REFERENCES	This Year's	Last Year's
				Preceding Year's	All Prior Years'



**QUESTIONNAIRE** Place an "X" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? [ ] [ ]
14. Is there a duplication of this series in another office or agency? [ ] [ ]
15. Is the information contained in this series ever summarized or published?  
Attach copy of summary or publication. [ ] [ ]
16. Does the series contain classified information requiring security handling? [ ] [ ]
17. Does the series initiate, amend or terminate agency policies and procedures? [ ] [ ]
18. Could the function be performed if the files were lost or destroyed? [ ] [ ]
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [ ] [ ]
20. Does the record series provide data as input to an EDP file? [ ] [ ]
21. Does the record series contain documentation produced as EDP printout? [ ] [ ]
22. Has the Federal Government issued instructions governing the retention/disposition of these files? [ ] [ ]
23. Will there be a need for these records 10, 15 years from now? If yes, what? [ ] [ ]

24. REQUIREMENTS. The following requires the files to be kept \_\_\_\_\_ years:

- a. [ ] STATE LAW    b. [ ] STATUTE OF LIMITATION    c. [ ] AUDIT PERIOD    d. [ ] FEDERAL LAW    e. [ ] ADMINISTRATIVE DECISION    f. [ ] HISTORICAL VALUE  
(Cite Law, Statute, or other reason for the retention requirement)

( see attached sheets )

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - [ ] CALENDAR YEAR - [ ] FISCAL YEAR - [ ] OTHER \_\_\_\_\_, then:

- [ ] Hold in the current files area \_\_\_\_\_ month(s)/ \_\_\_\_\_ year(s):
- [ ] Transfer to [ ] State Records Center [ ] Local Holding Area; hold \_\_\_\_\_ year(s):
- [ ] Destroy.
- [ ] Transfer to State Archives for permanent retention.
- [ ] Destroy immediately after cut-off.
- [ ] Other: (Specify)

( see attached sheets )

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature)	Date	OTHER REQUIRED SIGNATURES	DATE
<i>John Dean</i>	12/5/73		
26. Recommendations in paragraph 25 are:	Agency Head/Designee [ ] Approved [ ] Disapproved	<i>William M. Dixon</i>	12/6/73
	State Auditor/Designee [ ] Approved [ ] Disapproved	<i>William M. Dixon</i>	12-11-73
	Secretary of State/Designee [ ] Approved [ ] Disapproved	<i>Carroll Hart</i>	12-10-73
	Attorney General/Designee [ ] Approved [ ] Disapproved	<i>R. H. Shell</i>	12-11-73

STATE RECORDS  
COMMITTEE



STATE  
OF  
GEORGIA

Application for  
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

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1. Application Date <b>12/7/1973</b>	2. Agency Application No. <b>EPD-WQ 1</b>	3. AGENCY, Division, Subdivision & Administering Office Address <b>Department of Natural Resources Environmental Protection Division, Water Quality Control Sec. Room 609 Health Building, 47 Trinity Avenue S.W. Atlanta, Georgia 30334</b>	4. Person to Contact <b>Mrs. Nancy Johns</b>	5. Working Title <b>Steno III</b>	6. Tel. No. <b>656-4708</b>
7. ACTION REQUESTED <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED					
8. Earliest & Latest Dates of Series <b>1930 - date</b>		9. Exact Series Title <b>WASTEWATER TREATMENT FACILITY FILE</b>			

10. What is the function of the office in which this record series is created?

The Environmental Protection Division is responsible for the maintenance and improvement of the state's environmental quality through research, program development, and the enforcement of regulatory legislation in the areas of water quality control, water supply, air quality control, solid waste management, and land reclamation.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement).

( see attached sheets)

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers	60	90		10	15
Legal-size File Drawers			Floor Space Occupied (Square Feet)	In Office(s)	In Storage Area(s)
				72	
				This Year's	Last Year's
			AVERAGE DAILY REFERENCES	Preceding Year's	All Prior Years

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☐ ☐
14. Is there a duplication of this series in another office or agency? ☐ ☐
15. Is the information contained in this series ever summarized or published?  
Attach copy of summary or publication. ☐ ☐
16. Does the series contain classified information requiring security handling? ☐ ☐
17. Does the series initiate, amend or terminate agency policies and procedures? ☐ ☐
18. Could the function be performed if the files were lost or destroyed? ☐ ☐
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ ☐
20. Does the record series provide data as input to an EDP file? ☐ ☐
21. Does the record series contain documentation produced as EDP printout? ☐ ☐
22. Has the Federal Government issued instructions governing the retention/disposition of these files? ☐ ☐
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ ☐

24. REQUIREMENTS. The following requires the files to be kept \_\_\_\_\_ years:

- a. ☐ STATE LAW    b. ☐ STATUTE OF LIMITATION    c. ☐ AUDIT PERIOD    d. ☐ FEDERAL LAW    e. ☐ ADMINISTRATIVE DECISION    f. ☐ HISTORICAL VALUE  
(Cite Law, Statute, or other reason for the retention requirement)

( see attached sheets )

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - ☐ CALENDAR YEAR - ☐ FISCAL YEAR - ☐ OTHER \_\_\_\_\_, then:

- ☐ Hold in the current files area \_\_\_\_\_ month(s)/\_\_\_\_\_ year(s):  
☐ Transfer to ☐ State Records Center ☐ Local Holding Area; hold \_\_\_\_\_ year(s):  
☐ Destroy.  
☐ Transfer to State Archives for permanent retention.  
☐ Destroy immediately after cut-off.  
☐ Other: (Specify)

*a. 5 in office 10 in RC, destroy*  
( see attached sheets )

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature) <i>John Dean</i>	Date 12/5/73	OTHER REQUIRED SIGNATURES	DATE
26. Recommendations in paragraph 25 are:	Agency Head/Designee <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>William M. Hylan</i>	12/6/73
STATE RECORDS COMMITTEE	State Auditor/Designee <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>William M. Hylan</i>	12-11-73
	Secretary of State/Designee <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>Carroll Hart</i>	12-10-73
	Attorney General/Designee <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>R. H. Shell</i>	12-11-73